

CIVIL DOCKET  
UNITED STATES DISTRICT COURT~~JUDGE MC LEAN~~

Jury demand date:

71 CIV. 2695

D. C. Form No. 106 Rev.

JUDGE WARD

ATTORNEYS

SECURITIES AND EXCHANGE COMMISSION.

For plaintiff:  
KEVIN THOMAS DUFFY REGIONAL ADMINISTRATOR.

AGAINST.

S.E.C.

SAMUEL H. SLOAN  
SAMUEL H. SLOAN & CO.26 Federal Plaza,  
N.Y.C.N.Y. 10007

50521052

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21-88-13)

BK 2

For defendant:

X Samuel H. Sloan (Pro Se)  
120 Liberty St.  
New York, N.Y. 227-5816

| STATISTICAL RECORD                   | COSTS        | DATE    | NAME OR RECEIPT NO. | REC. | DISB. |
|--------------------------------------|--------------|---------|---------------------|------|-------|
| J.S. 5 mailed X                      | Clerk        | 3/14/71 | Sloan               | 5 -  |       |
|                                      |              | 3/14/71 | McLean              |      | -     |
| J.S. 6 mailed ✓                      | Marshal      | 3/14/71 | Sloan               | ✓ -  | ✓ -   |
| Basis of Action:<br>S.E.C. ACT. 1934 | Docket fee   |         |                     |      |       |
|                                      | Witness fees |         |                     |      |       |
| Action arose at:                     | Depositions  |         |                     |      |       |

S.E.C. VS. SAMUEL H. SLOAN, ET-ANO

~~JUDGE MCLEAN~~ 71 CIV. 2695

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| DATE       | PROCEEDINGS   | Date Order or Judgment Noted |
|------------|---|------------------------------|
| Jun 17-71  | Filed Complaint. Issued Summons.  |                              |
| Jun 18-71  | Filed Request and order that Sheldon G. Kanoff make service of summons and complaint. So ordered. Clerk.  |                              |
| Jun 21-71  | Filed Order to Show Cause re: Temp. Restraining order and freeze on assets. RET. 6/22/71 in Room 506. Ordered that pending determination of this motion for a preliminary injunction defts. Samuel H. Sloan & Co. and Samuel H. Sloan, their officers, etc. are restrained as indicated. McLean, J. |                              |
| Jun 21-71  | Filed Pltf's Memorandum in support of its motion for a Pre. Inj.  |                              |
| Jun 24-71  | Filed CONSENT ORDER OF PRELIMINARY INJUNCTION. Ordered that defts. Samuel H. Sloan & Co. and Samuel H. Sloan, their officers, etc. are preliminarily enjoined as indicated. McLean, J. (mailed notice).   |                              |
| Jun 30-71  | Filed summons with proof of service. Served Samuel H. Sloan & Co. and Samuel H. Sloan on 6/18/71.   |                              |
| Jun 30-71  | Filed Affidavit of Service of Show Cause Order and Temp. Rest. Order upon Chemical Bank on 6/21/71.   |                              |
| Jul. 7-71  | Filed Affdvt. of Service by Sheldon G. Kanoff, Served certified copy of Consent Order of Pre. Inj. to deft. Damuel H. Sloan and Chemical Bank, on 6-25-71   |                              |
| Aug. 26-71 | Filed Transcript of record of proceedings, dated June 23-1971   |                              |
| Jun 11.73  | Filed Dft. Notice of Motion. Re: Produce documents, etc. ret. 6/26/73.  |                              |
| Jun 11.73  | Filed Dft. Memorandum of law & brief, etc.  |                              |
| Jun 25.73  | Filed Memorandum in opposition to dft's motion for discovery.   |                              |
| Jun 25.73  | Filed Affidavit by Alan M. Rashes for pltffs.   |                              |
| Jun 22.73  | Filed Affidavit by Alan M. Rashes for pltffs.   |                              |
| Jun 22.73  | Filed Memorandum in opposition to dft's motion for discovery.   |                              |
| Aug-16-73  | Filed Opinion #39767. The motion is in all respects denied. Ward J. (mailed notice)   |                              |
| Aug-16-73  | Filed Memo. End. on Defts. motion dated 6/11/73. Motion denied in accordance with memorandum decision filed herewith. Ward J.   |                              |
| Oct.25-73  | Filed deft's(S.H.Sloan) affdvt & notice of motion to dismiss-Ret. 11-7-73.  |                              |
| Nov. 2.73  | Filed Special Supplemental Affidavit by Samuel H. Sloan .   |                              |
| Nov. 7.73  | Filed Memorandum in opposition to defts. motin for dismissal of action.   |                              |
| Nov. 8-73  | Filed Letter from Samuel H. Sloan to Judge Ward Re: exhibit f: answers to financial questionnaire.  |                              |
| Nov. 20.73 | Filed Deft. Table of Exhibits.  |                              |
| Nov.21.73  | Filed Memo. End. onXXXXXX motion dated 10/25/73.Motion denied in accordance with memorandum decision filed herewith. XWEX Ward J.(mailed notice)  |                              |
| Nov.21.73  | Filed Memorandum Order. Accordingly, the motion is in all respects denied. Ward J. (mailed notice)  |                              |
| Nov.27.73  | Filed Deft. Notice of Motion. Re:Costs. ret. 12/4/73.   |                              |
| Dec.4.73   | Filed Memorandum in opposition to defts. motion for costs.  |                              |
| Dec.5.73   | Filed Memorandum of law in support of pltffs proposed findings of fact & & conclusion of law filed in support of its application for permanent injunction.  |                              |
| Dec.5.73   | Filed Proposed Findings of Fact & Conclusions of Law by pltff.  |                              |
| Dec.10.73  | Filed Proposed finidings of fact & Conclusions of law.  |                              |
| Dec.13-73  | Filed order permitting Robt. W. Taylor to withdraw as atty for deft.--Ward,J. mailed notices.   |                              |
| Dec 11-73  | n-y Trial begin   |                              |
| Dec 12-73  | Trial continues   |                              |
| Dec 13-73  | " "   |                              |
| Dec 20-73  | " "   |                              |
| Dec 21-73  | " Concluded Dec. Res.   |                              |
| Jan. 7.74  | Filed Opinion #40178. Findings of Fact& Conclusions of Law.Unless permanently enjoined, there is a likelihood that the dfts.will continue to engage in violations of the Exchange Act and the rules promulgated thereunder. Settle Order on Notice. Ward J. (mailed notice) (continued)             |                              |

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| DATE          | FILINGS—PROCEEDINGS  | AMOUNT<br>REPORTED IN<br>EMOLUMENT<br>RETURNS |
|---------------|--|---|
| Dec. 27.73    | Filed Deposition of Joseph Frank Iny dated 6/23/71. (mailed notice)  |   |
| Jan. 7.74     | Filed Deft. Samuel H. Sloan Memorandum of Law.   |   |
| Jan 21.74     | Filed Judgment of Permanent injunction. Ordered that defts. Samuel H. X Sloan, their officers, etc. are permanently enjoined as indicated.<br>It is further ordered that this court shall retain jurisdiction over this matter for all purposes. Ward J. Judgment Ent. 1/22/74<br>Clerk, Ent. 1/22/74. |   |
| 1-28-73       | Filed transcript of proceedings dated 12-11-12-13-73   |   |
| Mar 13.74     | Filed Deft. Samuel Sloan Notice of Appeal from order dated 1/7/74.<br>( mailed notice)   |   |
| ***Jun 23, 71 | Filed in Court: Deft's Memo in Opposition  |   |
| Apr 4, 74     | Filed Letter from Samuel H. Sloan to Thomas R. Bierne dated 11-26-73   |   |
| Apr 4, 74     | Filed Letter from S.H. Sloan, dated 11-26-73 to W.D. Moran   |   |
| Apr. 4, 74    | Filed Letter from S.H. Sloan to Judge Ward dated 1-11-74   |   |
| Apr 4, 74     | Filed Transcript of proceedings dated Dec 20, 21, 1973   |   |
| Apr 10.71     | Filed Deft. Memorandum of Law.   |   |
| Apr 22.74     | Filed Defts. Memorandum of Law.  |   |
| Apr 22.74     | Filed Affidavit by Hafdis Simonarson.  |   |
| May 2.74      | Filed Defts. Further Memorandum in support of motion for a stay pending appeal.  |   |
| May 9.74      | Filed Deft. Samueal H. Sloan & Co. Notice of Motinn. Re:<br>New Trial. ret. 5/17/74.   |   |
| May 9-74      | Filed deft's memorandum of law in support of motion for a new trial.   |   |
| Apr. 3-74     | Filed deft's affdvt & notice of motion to suspend injunction pending appeal--Ret. 4-12-74.   |   |
| May 16. 74    | Filed Defts. Memorandum of Law for New Trial.  |   |
| 5-14-74       | Certified Record to USCA   |   |
| May 21.74     | Filed Furthe AFFidavit in support of motion by Samuel H.Sloan.   |   |
| Jun 24. 74    | Filed Deft. Notice of Motion & supporting affidavit.<br>RE: Order Granting leave to proceed in forma pauperis<br>on appeal, etc. ret. 7/2/74.  |   |
| Jun 25.74     | Filed Memo. End. on motion dtd 5/9/74. Motion denied. Ward J.  |   |
| Jun 25.74     | Filed Memo. End. on motion dtd. 4/3/74. Motion denied. Ward J.   |   |
| Jun 27.74     | Filed Affidavit by Saumel H. Sloan.  |   |
| Jun 27.74     | Filed Defts. Notice of Motion. Re: Reargument. ret. 7/9/74.  |   |
| Jun 27.74     | Filed Deft.s Notice of Motion. Re: Vacate Judgment entered 1/18/74.<br>Ret. 7/9/74.  |   |
| Jun 27.74     | Filed Defts. Memorandum of Law.  |   |

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| DATE       | FILINGS--PROCEEDINGS   | AMOUNT<br>REPORTED IN<br>EMOLUMENT<br>RETURN |
|------------|--|--|
| Jul 8.74   | Filed memorandum to deft's. motions for: (1) Leave to proceed in forma pauperis; (2) Reargument; and (3) Relief from final judgment pursuant to Rule 60(b)(3) of the F.R.C.P.  |  |
| Jul 11.74  | Filed Deft's reply affidavit to Pltff's memorandum of law dtd 7-8-74.  |  |
| Jul 31.74  | Filed Memo. End. on motion dtd. 6/24/74. Motion denied. So Ordered Ward J. (mailed notice)   |  |
| Jul 31.74  | Filed Memo. End. on motion dtd. 6/27/74. Motion denied. Ward J. <i>2/3</i>   |  |
| Jul 31.74  | Filed Memo. End. on motion dtd. 6/27/74. Motion denied. Ward J. <i>2/3</i>   |  |
| Jul 27.74  | Filed Deft. Notice of Motion. Re: Reargument. ret. 7/9/74. <i>3/3</i>  |  |
| Jul 31.74  | Filed Memo. End. on motion dtd. 6/27/74. Motion denied. Ward J. <i>2/3</i>   |  |
| Aug 2-74   | Filed postcards address to Judge Ward from Samuel Sloan (from Rome, Italy and East Berlin, Germany)  |  |
| Aug 2-74   | Filed copy of letter from Samuel Sloan to William D. Moran dtd: Apr. 11-74.  |  |
| Aug 2-74   | Filed copy of letter from Jerome Selvers to Samuel Sloan dtd: May 7-74.  |  |
| Aug 2-74   | Filed letter from Samuel Sloan to Judge Ward dtd: July 16-74.  |  |
| Aug 8.74   | Filed Pltffs. Designation of Exhibits.   |  |
| Aug 8.74   | Certified Supplemental Record to the USCA.   |  |
| 8-21.74    | <u>FILED STIPULATION RE GOVT'S EXHIBITS TO BE INDEXED AS PART OF RECORD ON APPEAL</u>  |  |
| Sep 4.74   | Filed notice of appeal from the decisions of Judge Ward denying Deft's. motions for a new trial and reargument on 6-25-74 and 7-30-74. (Notice mailed to Securities and Exchange Commission, 26 Federal Plaza, New York, N.Y.) |  |
| Sep. 27-74 | Filed notice of certification & transmittal of supplemental record on Appeal.  |  |
| Oct. 21-74 | Filed notice that the supplemental record on appeal has this date been certified and transmitted to the U.S.C.A.   |  |
| Oct 23.74  | <del>EXTRA COPY</del> . Certified Record to the USCA (Supplemental)  |  |
| Nov 22.74  | Filed Deft's. Notice of Motion for the convening of a 3 Judge Court. ret. 12/3/74.   |  |
| Nov 29.74  | Filed Response of the SEC to the Deft's. motion to Convene a 3 Judge Constitution Court.   |  |
| Dec 5.74   | Filed Memo. End. on motion dtd. 11/22/74. Motion denied. (mailed notice)   |  |
| Apr 1.75   | Filed true copy of U.S.C.A. Mandate dismissing the appeal. (mailed notice)   |  |
| 05-12-75   | Filed Deft's. affidavit & notice of motion for an order vacating the permanent injunction entered on 1-18-74 and to dismiss the complaint, ret. 5-27-75.   |  |
| 05-12-75   | Filed Deft's. memorandum of law in support of motion to vacate.  |  |
| 06-03-75   | Filed Pltff's. response to Deft's. motion to vacate order of permanent injunction.   |  |
| 06-20-75   | Filed Deft's. reply memorandum in support of motion to vacate the injunction & to dismiss the complaint.   |  |

(Continued)

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**D. C. 110 Rev. Civil Docket Continuation**

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